

09-03-2004



State of California – Health and Human Services Agency
Department of Health Services
Division of Drinking Water and Environmental Management



ARNOLD SCHWARZENEGGER
Governor

OCTOBER 2004

REQUESTS FOR PRE-APPLICATIONS

To Develop Project Priority Lists for Funding

For

Water Security, Safe Drinking Water, and Contaminant Removal Grants

Funded By:

Proposition 50, the Water Security, Clean Drinking Water, Coastal and
Beach Protection Act of 2002

In Cooperation with
California Department of Water Resources

Pre-applications Due on or before 5:00 PM, December 1, 2004

An electronic version is available of these forms and instructions. Please check the
Department of Health Services website for instructions on obtaining a copy.

<http://www.dhs.ca.gov/ps/ddwem/Prop50/default.htm>

TABLE OF CONTENTS

INTRODUCTION	1
ELIGIBLE APPLICANTS	2
ELIGIBLE PROJECTS	2
ELIGIBLE EXPENSES	2
APPLICATION PROCESS.....	2
PRE-APPLICATION SUBMITTAL	3
Pre-Application Contents	3
Pre-Application Format.....	3
Pre-Application Submission.....	3
Pre-Application Deadline.....	3
DEFINITIONS	5
PRE-APPLICATION PART 1 INSTRUCTIONS	7
PRE-APPLICATION PART 2 INSTRUCTIONS	12
CHAPTER 3: Water Security	12
CHAPTER 4a.1: Small Community Water System Facilities	15
CHAPTER 4a.2: Demonstration Projects and Studies for Contaminant Treatment and Removal.....	17
CHAPTER 4a.3: Community Water System Monitoring Facilities	20
CHAPTER 4a.4: Drinking Water Source Protection	22
CHAPTER 4a.5: Disinfection Byproduct Treatment Facilities	26
CHAPTER 4b: Southern California Projects to Reduce Demand on Colorado River.....	29
CHAPTER 6b: Demonstration Projects and Studies for Contaminant Removal.....	32
CHAPTER 6c: Ultraviolet (UV) and Ozone Disinfection	35
ATTACHMENT A: Summary Table of Prop 50 Grant Programs.....	38
ATTACHMENT B: DHS Field Offices	42
ATTACHMENT C: Prop 50 Public Workshops.....	43
ATTACHMENT D: Prop 50 Anticipated Schedule	45
ATTACHMENT E: Prop 50 Proposed Project Budget.....	46
Pre-Application Forms	47

Prop 50 Pre-Application Instructions

Please read and follow these instructions carefully to ensure that your pre-application is acceptable.

INTRODUCTION

The California Department of Health Services (DHS) is administering nine new grant programs with funding from Proposition 50, the Water Security, Clean Drinking Water, Coastal and Beach Protection Act of 2002, (Water Code §79500, et seq.). Approximately \$430 million is available to public water systems through these grant programs. The funds will be distributed over four years, and pre-applications will be solicited annually for four years beginning in 2004. Table 1 is a list of the grant programs, eligible applicants, and funding available. Refer to Attachment A on page 38 for a complete list of grant programs, project eligibility requirements, ranking criteria, and available funding.

Table 1
DHS Prop 50 Grant Programs

SECTION	GRANT PROGRAM	ELIGIBLE APPLICANTS	FUNDING AVAILABLE
Construction Projects			
3	Water Security	Public water systems	\$ 50 million
4a.1	Small Community Water System Facilities	Small community water systems ¹	\$ 14 million
4a.3	Community Water System Monitoring Facilities	Community water systems	\$ 14 million
4a.4	Drinking Water Source Protection	Public water systems	\$ 14 million
4a.5	Disinfection Byproduct Treatment Facilities	Public water systems	\$ 14 million
4b	Southern California Projects to Reduce Demand on Colorado River	Public water systems serving Southern California counties ²	\$260 million
6c	UV and Ozone Disinfection	Public water systems	\$ 25 million
Demonstration Projects and Pilot Studies			
4a.2	Contaminant Treatment and Removal	Public water systems	\$ 14 million
6b	Contaminant Removal	Public water systems	\$ 25 million
Notes: 1. Community water systems serving $\leq 1,000$ service connections or $\leq 3,300$ population 2. Water systems with service area entirely or partly within San Diego, Imperial, Riverside, Orange, Los Angeles, San Bernardino, Santa Barbara, or Ventura counties.			

**If you need assistance in completing these forms please contact the
DHS District office for your area**

(a map of district offices is included as Attachment B).

DHS will be holding public workshops at 12 locations around the state in October 2004. The purpose of these workshops is to describe the Prop 50 grant program criteria and to explain procedures for completing pre-application forms.

See Attachment C for a list of dates and locations of public workshops.

ELIGIBLE APPLICANTS

Eligible applicants for DHS Prop 50 grant programs are public water systems regulated by DHS or by a county that has been delegated primacy by DHS. Individual well owners, state small water systems, or other water systems not designated as public water systems are not eligible to apply.

*Note: For Grant Program 6b (Contaminant Removal Studies) **only**, public entities are also eligible to apply. These entities include state and local government agencies, public districts, public universities, etc.*

Other entities such as non-profit groups, research foundations, private universities, or private companies, are not eligible applicants under any DHS Prop 50 grant program. These types of entities may partner with an eligible applicant by providing matching funds or by acting as a contractor or consultant to the applicant.

ELIGIBLE PROJECTS

Read each grant program description carefully to determine whether your proposed project is eligible for funding. You may apply for funds from more than one grant program, but a project may receive funds from only one Prop 50 grant program. Note: projects eligible under Grant Program 4b (Southern California Projects) are not eligible under any Chapter 4a grant programs.

Refer to Attachment A for a complete list of grant programs, project eligibility requirements, ranking criteria, and available funding.

ELIGIBLE EXPENSES

All expenses will be reviewed by DHS to determine eligibility. Preliminary costs incurred after the adoption of DHS grant program criteria (September 2004), but before the execution of a funding agreement, may be eligible for reimbursement. Construction costs, in order to be eligible, must be incurred after the applicant receives a letter of commitment from DHS. Payment will occur only after the funding agreement is executed. Costs incurred after October 28, 2003 may be used as matching funds.

APPLICATION PROCESS

The application process is divided into two primary phases. Phase 1, the Pre-Application, is used to develop a Project Priority List (PPL) for each grant program. In Phase 2, the available funding is compared to the PPL to determine the projects to be invited to submit full applications. Invitations are sent to applicants in priority order from the PPL until the amount of funding available in a fiscal year has been allocated. Applicants invited to submit full applications are assured of receiving funding for eligible expenses if all requirements and deadlines are met, subject to the availability of Prop 50 funding.

The Pre-Application is intended to be a relatively brief document, providing sufficient information for reviewers to determine if the project is submitted for the correct grant program, to determine if the project is eligible for funding, and to categorize and rank the projects for the PPL. Each pre-application consists of Part 1 (a standard two-page form), Part 2 (a two to three-page form specific to each grant program), and attachments. Each pre-application is limited to a specified number of pages. It is not necessary to use all the allowable pages for a pre-application. You are encouraged to use fewer pages if you are able to accurately provide all the required information. Pages in excess of the page limit will not be reviewed.

Phase 2, for those invited to apply, is the submission of a full application package. This package consists of standard forms, detailed technical information, financial documentation, and environmental documentation. Invited applicants will have sufficient time to prepare and compile this information. Refer to the anticipated schedule in Attachment D. Projects must be initiated within one year of funding agreement execution and must be completed within three years of funding agreement execution.

PRE-APPLICATION SUBMITTAL

Pre-Application Contents

Each pre-application for funding must include the following components:

- Part 1 Standard two-page form for all projects
Part 2 Two to three-page form specific to each grant program
Attachments
- Proposed Project Budget (1 page maximum, refer to Attachment E for an example)
 - Other information specific to each grant program (see Table 2 and each grant program description)
 - List of census tracts for disadvantaged communities (required only for applicants seeking set-asides for disadvantaged communities; not counted in the page limit)

Pre-Application Format

All forms are to be completed in at least a 10-point font, on 8 ½ x 11 paper, with ½ inch margins all around.

Pre-Application Submission

Submission of electronic copies of applications is highly encouraged!

Refer to the DHS website for instructions on obtaining a copy of the Prop 50 forms computer program:

<http://www.dhs.ca.gov/ps/ddwem/Prop50/default.htm>

If you need assistance in preparing an electronic copy please contact the local DHS district office.

All submitted pre-applications are public information. Any information intended to be submitted in confidence should be clearly marked "Confidential."

E-mail Submission Procedures

1. Complete Part 1 and Part 2 in DHS-provided Prop 50 computer program.
2. Create an export file in the program.
3. Prepare attachments (as needed) in a word processing program or in Adobe Acrobat (*.pdf) format.
4. Attach the export file and any other attachments to an e-mail message.
5. Send the e-mail message to dwemcomm@dhs.ca.gov.
6. In addition, submit one copy of Part 1 (with original signature) by mail, courier, or hand delivery to the address listed below by the deadline.

Mail or Hand Delivery Submission Procedures

1. Complete forms on paper.
2. Submit one original of the entire package (with original signature) plus four (4) photocopies by mail, courier, or hand delivery to the address listed below.

<i>Address for mail delivery:</i> California Department of Health Services Drinking Water & Environmental Management MS 7416 P. O. Box 997413 Sacramento, CA 95899-7413	<i>Address for hand or courier delivery:</i> California Department of Health Services Drinking Water & Environmental Management 1616 Capitol Avenue, 2 nd Floor Sacramento, CA 95814
--	---

Pre-Application Deadline

All pre-applications must be received on or before 5:00 PM on December 1, 2004.

Applications submitted by mail must be postmarked on or before the deadline.

Table 2
Pre-Application Attachments and Page Limits

SECTION	GRANT PROGRAM	ATTACHMENTS	PAGE LIMIT
	Pre-Application Part 1	1. Census tracts for disadvantaged communities (if applicable, not included in page limits) 2. Additional co-applicants (if applicable, included in page limits)	---
3	Water Security	1. Proposed Project Budget (Required) 2. Description of emergency interties (if applicable) 3. Description of multiple water system benefits (if applicable) 4. Additional detail for Project Description (if needed)	7
4a.1	Small Community Water System Facilities	1. Proposed Project Budget (Required) 2. Additional detail for Problem Description (if needed) 3. Additional detail for Project Description (if needed)	6
4a.2	Contaminant Treatment and Removal	1. Proposed Project Budget (Required) 2. Additional detail for Problem Description (if needed) 3. Additional detail for Project Description (if needed)	10
4a.3	Community Water System Monitoring Facilities	1. Proposed Project Budget (Required) 2. Additional detail for Problem Description (if needed) 3. Additional detail for Project Description (if needed)	6
4a.4	Drinking Water Source Protection	1. Proposed Project Budget (Required) 2. Additional detail for Problem Description (if needed) 3. Additional detail for Project Description (if needed) 4. Detail for additional information (if needed)	10
4a.5	Disinfection Byproduct Treatment Facilities	1. Proposed Project Budget (Required) 2. Table 1 for reporting DBP concentrations and calculating theoretical cancer risk. (Required) 3. Additional detail for Problem Description (if needed) 4. Description of any special circumstances, procedures, or results (if needed) 5. Additional detail for Project Description (if needed)	9
4b	Southern California Projects to Reduce Demand on Colorado River	1. Proposed Project Budget (Required) 2. For regional projects, attach a list of participating water systems (if needed) 3. Additional detail for Problem Description (if needed) 4. Additional detail for Project Description (if needed) 5. Applicants proposing projects that reduce demand on State Water Project supplies must attach a description of procedures to execute a continuing transfer of that reduction to another agency such that the long-term demand on Colorado River water will be reduced	8
6b	Contaminant Removal	1. Proposed Project Budget (Required) 2. Additional detail for Problem Description (if needed) 3. Additional detail for Project Description (if needed)	10
6c	UV and Ozone Disinfection	1. Proposed Project Budget (Required) 2. Additional detail for Problem Description (if needed) 3. Additional detail for Project Description (if needed)	8

DEFINITIONS

1. “Community water system” is defined pursuant to Health and Safety (H&S) Code Section 116275(i) as a public water system that serves at least 15 service connections used by yearlong residents or regularly serves at least 25 yearlong residents of the area served by the water system.
2. “Disadvantaged community” means a community with an annual household income that is less than 80 percent of the statewide annual median household income.
3. “Matching funds” means funds made available by non-state sources, which may include, but are not limited to, donated services from non-state sources. Matching funds for state agencies may include state funds and services.
4. “Noncommunity water system” is defined pursuant to H&S Code Section 116275(j) as a public water system that is not a community water system.
5. “Nontransient noncommunity water system” is defined pursuant to H&S Code Section 116275(k) as a public water system that is not a community water system and that regularly serves at least 25 of the same persons over 6 months per year.
6. “Public water system” is defined pursuant to H&S Code Section 116275(h) as a system for the provision of water that has 15 or more service connections or regularly serves at least 25 individuals at least 60 days out of the year.
7. “Small water system” is defined as a public water system serving less than or equal to 1,000 service connections or less than or equal to 3,300 population.
8. Local Primacy Agency (LPA) is defined pursuant to H&S Code Section 116275(r) as any local health officer that has applied for and received primacy delegation from DHS pursuant to H&S Code Section 116330.